

PATENT

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In re application : ANNE-CLAIRE PLISKA, ET AL.  
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For : APPARATUS AND METHOD FOR REAL-TIME OPTICAL FIBER  
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PRIORITY CLAIM UNDER RULE 55

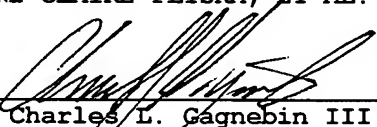
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Sir:

The benefit of the filing date in Europe of a patent application corresponding to the above-identified application is hereby claimed under Rule 55 and 35 U.S.C. 119 in accordance with the Paris Convention for the Protection of Industrial Property. This benefit is claimed based upon a corresponding European patent application bearing serial no. 03 405 112.8 filed February 21, 2003, a certified copy of which is attached hereto.

Respectfully submitted,

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The attached documents are exact copies of the European patent application described on the following page, as originally filed.

Les documents fixés à cette attestation sont conformes à la version initialement déposée de la demande de brevet européen spécifiée à la page suivante.

**Patentanmeldung Nr.    Patent application No.    Demande de brevet n°**

03405112.8

Der Präsident des Europäischen Patentamts:  
Im Auftrag

For the President of the European Patent Office

Le Président de l'Office européen des brevets  
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**R C van Dijk**

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Bezeichnung der Erfindung/Title of the invention/Titre de l'invention:  
(Falls die Bezeichnung der Erfindung nicht angegeben ist, siehe Beschreibung.  
If no title is shown please refer to the description.  
Si aucun titre n'est indiqué se referer à la description.)

Apparatus and method for real-time optical fiber coupling

In Anspruch genommene Priorität(en) / Priority(ies) claimed /Priorité(s)  
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Apparatus and method for real-time optical fiber coupling

Field of the invention

10

This invention relates generally to optoelectronic devices, and specifically to an apparatus and a method for optical fiber coupling, according to the preambles of the independent claims. The invention can be used in an optoelectronic package such as a transmitter, an amplifier, a receiver, a light-emitting diode (LED), a pump laser etc. Its applications are for instance in optoelectronic modules for telecommunication applications, in airplanes where the quantity of optical fibers is extremely large, or in any sensor device involving a coupling of light into or out of an optical fiber.

20

Background of the invention

25

The manufacture of optoelectronic modules, for instance an optoelectronic transmitter (or receiver), requires that an

optical fiber be properly aligned and fixed in front of the emitting (or receiving, respectively) device. A critical parameter is the transmission efficiency between the emitting (or receiving, respectively) device and the fiber. The  
5 objective is to maximize the transmission efficiency and to minimize the optical coupling losses.

The alignment of an optoelectronic device to the output (or input) optical fiber is the most critical step in the  
10 optoelectronic package manufacturing. Indeed, optical connections are highly sensitive to the relative motion between the optoelectronic device (laser, photodiode, light-emitting diode (LED), semiconductor optical amplifier (SOA), etc.) and the other optical components, which typically  
15 include a lens and a fiber, but can also include an isolator, mirrors, etc. They require extremely accurate submicrometer alignment and an attachment process that will maintain the alignment both during assembly and in the field. The techniques for locking an optical fiber within an  
20 optoelectronic package must be reproducible and reliable over time and under harsh conditions (temperature cycling and humidity). As explained below, the current techniques have all their drawbacks and do not provide a complete satisfactory solution to these demands.

25  
Prior-art standard optical fiber alignment approaches fall under either active or passive alignment techniques. The



former have a poor resolution of 1 or 2  $\mu\text{m}$  which prevents their use in most configurations. The latter yields a final positioning accuracy of roughly 250 nm; however, it shows a post-bonding shift which is not easily controllable. In practice, the pigtailed process takes roughly 10 to 15 minutes for one fiber.

All the above techniques fail when the optoelectronic package experience large temperature changes (from  $-40^{\circ}\text{C}$  to  $85^{\circ}\text{C}$ ), either imposed by external environmental conditions or by the optoelectronic device operation itself (internally generated heat). This is especially true for packages free of thermoelectric coolers (TEC). The heat generated during device operation is not properly evacuated and yields misalignment between the optoelectronic device and the output fiber through a mismatch of thermo-mechanical properties of the coupling system (which includes the device submount, device solder, fiber solder, etc.).

Once in the field, the optical fiber connection should remain in place without need of repair. To overcome these shortcomings, The Boeing Company and MacDonnell Douglas Corporation have proposed the use of a microactuator within the package itself to enable a re-alignment of the fiber once the package is hermetically sealed. They proposed two different solutions:

- a carrier movably mounted on a substrate, with the fiber permanently fixed on it (U.S. Pat. No. 5,602,955), or
- the possibility of softening again the solder and moving the fiber to the optimum position before cooling down the solder (U.S. Pat. No. 6,164,837).

The apparatus described in the aforementioned patents do not allow a complete remote actuation of the optical coupling since the module has to be taken out of the "network" to improve the optical connection.

In U.S. Pat. No. 6,280,100, a photodetector for detecting undesired light propagating in the fiber cladding is provided in the module. Optimum coupling is supposed to be found when the photodetector signal is zero. However, this optimization scheme can lead to a zero-coupling result since the optimum coupling is found on a zero-signal configuration. The processing of signals is not described.

Other types of micro XYZ stages have been proposed in E. T. Enikov and J. B. Nelson, "Three-dimensional microfabrication for a multi-degree of freedom capacitive force sensor using fibre-chip coupling", Journal of Micromechanical engineering, 10, 492-497, 2000, or in L. Y. Lin, J. L. Shen, S. S. Lee, M. C. Wu, "Surface-Micromachined micro-XYZ stages for free-space microoptical bench", IEEE Photon. Tech. Lett. 9, 345-347, 1997.

## Summary of the invention

It is an object of the invention to provide an apparatus and  
5 a method for optical fiber coupling which allow a remote  
control of the optical coupling without any external  
intervention but avoids the disadvantages of the prior art.  
This and other objects are achieved by the apparatus and the  
method defined in the independent claims.

10 The invention proposes the use of a control circuit for  
achieving a real-time optimum alignment of the fiber end with  
respect to an optoelectronic device. In the following, (A)  
the case of a light-emitting optoelectronic device and (B)  
15 the case of a light-receiving optoelectronic device will be  
discussed separately. Both cases are expressions of the same  
invention and they mutually pass one into the other  
essentially by a reversion of time or a reversion of  
direction.

20 In both cases, the control circuit has the following common  
characteristics:

- (a) The disturbance is any undesired relative movement  
between the fiber end and the optoelectronic device.  
25 Such movements may be caused by external  
accelerations, temperature changes, etc.

(b) The actuator is a microactuator for positioning the end of the fiber with respect to the optoelectronic device.

(c) The manipulated variable is a position of the fiber end with respect to the optoelectronic device, positioned by the microactuator.

(d) The controller determining the manipulated variable is, e.g., a microprocessor.

#### **A. Coupling of light from a light-emitting device into an optical fiber**

In this case, the control circuit has the following specific characteristics:

(e) The controlled variable is the intensity of a well-defined, small portion of the light propagating through the core of the fiber.

(f) The measuring device for measuring the controlled variable is a photodetector.

(g) The command variable to be reached and held by the control circuit is a maximum intensity detectable by the photodetector at optimum alignment.

Accordingly, the inventive optical fiber coupling apparatus for coupling light from a light-emitting device into an optical fiber comprises a microactuator for positioning the

end of said fiber with respect to said light-emitting device,  
and a control circuit in which the manipulated variable is a  
position of the fiber end positioned by said microactuator.  
Said control circuit comprises outcoupling means for coupling  
5 out of said fiber a well-defined portion of the light  
propagating through the core of said fiber and a  
photodetector for detecting the intensity of said outcoupled  
light portion. The controlled variable from which the  
manipulated variable is determined in said control circuit is  
10 the light intensity detected by said photodetector.

The inventive method for coupling light from a light-emitting  
device into an optical fiber comprises positioning the end of  
said fiber with respect to said light-emitting device, the  
15 position of the fiber end being the manipulated variable in a  
control operation. A well-defined portion of the light  
propagating through the core of said fiber is coupled out of  
the fiber. The intensity of said light portion is detected.  
Said detected light intensity is used as the controlled  
20 variable from which the manipulated variable is determined in  
said control operation.

## **B. Coupling of light from an optical fiber into a light-receiving device**

In this case, the control circuit has the following specific  
5 characteristics:

(e) The controlled variable is the intensity of a reference light signal emitted by a light source with an essentially constant intensity and coupled into the core of the fiber.

10 (f) The measuring device for measuring the controlled variable is the optoelectronic device, together with means for separating the reference light signal from other light signals.

(g) The command variable to be reached and held by the  
15 control circuit is a maximum intensity detectable by the optoelectronic device at optimum alignment.

Accordingly, the inventive optical fiber coupling apparatus for coupling light from an optical fiber into a light-  
20 receiving device comprises a microactuator for positioning the end of said fiber with respect to said light-receiving device, and a control circuit in which the manipulated variable is a position of the fiber end positioned by said microactuator. Said control circuit comprises a reference  
25 light source for emitting a reference light signal with an essentially constant intensity and incoupling means for coupling said reference light signal into the core of said

fiber. The controlled variable from which the manipulated variable is determined in said control circuit is the intensity of said reference light signal coupled into the fiber core and detected by said light-receiving device...

5

The inventive method for coupling light from an optical fiber into a light-receiving device comprises positioning the end of said fiber with respect to said light-receiving device, the position of the fiber end being the manipulated variable in a control operation. A reference light signal with an essentially constant intensity is coupled into the core of said fiber. The intensity of said reference light signal coupled into the fiber core and detected by said light-receiving device is used as the controlled variable from which the manipulated variable is determined in said control operation.

Throughout this document, terms such as "light" or "photo..." are used for any kind of electromagnetic radiation, such as visible light, infrared (IR) or ultraviolet (UV) radiation.

#### Brief description of the drawings

Embodiments of the invention are described in greater detail hereinafter relative to the attached schematic drawings.

Figure 1 shows a diagrammatic top view of a first embodiment of an apparatus according to the invention.

Figure 2 shows a diagrammatic top view of a second embodiment of an apparatus according to the invention.

#### Description of preferred embodiments

A first embodiment, corresponding to the above-discussed case A, of a real-time coupling apparatus 1 according to the invention is illustrated in **Figure 1**. The drawing shows a laser 3 with a monomode fiber 4 mounted on a submount 2. Only a few electric lines 21 are shown.

The submount 2 is any type of substrate such as a structured silicon or preferably silicon-on-insulator (SOI) microbench or a printed circuit board (PCB). It is fabricated by photolithography, wet etching, reactive-ion-etching processes and metal deposition. The structures and electrical lines on the submount 2 provide all necessary hybridization functions.

The laser 3 is soldered on a metallic pad on the submount 2. Passive alignment elements (not shown) are provided during the submount fabrication process. These elements can include keying features for flip-chip operation (standoffs,



indentations, vision marks, etc.). The accuracy of the laser positioning can then be as accurate as 1  $\mu\text{m}$ .

Two photodetectors are also soldered on the submount 2. A first photodetector 5 detects a small percentage, e.g., 0.1 %- 10 %, of the light coupled into the fiber core, and thus monitors the coupling efficiency. The first photodetector 5 is slightly tilted (by about 5°-15°, preferably about 10°) to prevent reflections coming back to the laser 3. A second photodetector 32 behind the laser 3 collects residual light leaving the rear endface of the laser 3 and ensures that the laser 3 is properly working. This second photodetector 32 is slightly tilted as well.

The fiber 4 to be aligned to the laser device 3 is preferably fixed in a multi-degree-of-freedom V-groove or U-groove. The precise location of the groove is positioned by a microactuator 8, e.g., an electrostatic comb actuator such as described in E. T. Enikov and J. B. Nelson, "Three-dimensional microfabrication for a multi-degree of freedom capacitive force sensor using fibre-chip coupling", Journal of Micromechanical engineering, 10, 492-497, 2000, (see especially Fig. 5 on page 495) or a series of bimorphic actuators such as described in U.S. Pat. No. 5,881,198.

The light coupled into the fiber 4 is split into two portions. A first, major portion of the light, e.g., 90 %-

99.9 %, preferably 99 %, is guided to an apparatus output through the output fiber 4. A second, minor portion of the light, which is complementary to the first portion, is lead to the first photodetector 5, e.g., through an auxiliary  
5 fiber 42. The splitting can be performed by appropriate splitting means 41 such as a 1%/99% optical-fiber coupler. Alternatively, a fiber grating coupler can be used to couple out of the output fiber the small percentage of the light. The small amount of light detected by the first photodetector  
10 5 is a direct measure for the overall coupling efficiency from the laser 3 to the fiber 4. The higher the detected signal, the better the coupling efficiency.

A microprocessor 6 processes the light-measurement  
15 information from the first photodetector 5. It sends appropriate command signals to an actuator circuit 7 comprising analog/digital converters and corresponding current or voltage sources 71. The actuator circuit 7 has three channels, one for each degree of freedom. Thus, the  
20 fiber actuator 8 is controlled by a control circuit 9 so as to optimize the coupling efficiency. In order to compensate for power fluctuations of the laser 3, the output signal of the first photodetector 5 can be scaled with the output signal of the second photodetector 32, e.g., numerically in  
25 the microprocessor 6.

The Hill climb method (cf. Th. H. Cormen, Ch. E. Leiserson, R. L. Rivest, C. Stein, "Introduction to Algorithms", MIT Press, 2001) is a standard fine-alignment algorithm that can be implemented in the microprocessor 6. The jitter inherent to this method can be detrimental for some applications but can be electronically corrected. The real-time active alignment can be performed either permanently or periodically; in the latter case, the moving stage is frozen between two subsequent alignment steps.

In a preferred embodiment with an SOI submount 2, the microprocessor 6 is manufactured in complementary-metal-oxide-semiconductor (CMOS) technology to benefit from the use of a SOI substrate. The microprocessor 6 could then be fabricated during the submount fabrication process. This on-chip integration of a CMOS circuit is a new feature in this context.

The microprocessor 6 can also be integrated as a multi-chip module (MCM). In this configuration, the different elements of the microprocessor 6 are soldered on the SOI (or silicon) microbench.

Electrical connections to the apparatus are provided by wire bonding.

A second embodiment of an apparatus 1' according to the invention is shown in **Figure 2**. This embodiment corresponds to the above-discussed case B, i.e., an apparatus 1' for coupling of light out of an optical fiber 4 into a light-receiving device 3'. Elements which are identical or analogous to those in Fig. 1 are designated by the same reference signs.

In contrast to the first embodiment of Fig. 1, the second embodiment comprises a reference light source 5', e.g., a laser. The intensity of the reference light signal emitted by the reference laser 5' is application dependent. If the reference signal and the input signal have different modulation frequencies, then the level of the reference signal is not relevant, since the two signals can be electronically demultiplexed and only the reference signal is used for the optimization of the coupling alignment. If both signals are CW signals or have the same modulation frequency, the intensity of the reference signal should not disturb the detection of the input signal. For this purpose, the intensity of the reference signal should be smaller than the intensity of the input signal, e.g., 0.1 %-10 % and preferably 1 % of the input-signal intensity.

The light signal emitted by the reference laser 5' is coupled into the core of the fiber 4, e.g., by an optical fiber coupler or a fiber grating coupler 41. The light is coupled

out of the fiber 4 and detected by the light-receiving device 3'. An output line 33' is provided for carrying an output signal, e.g., an electric output signal, of the light-receiving device 3'. In this output signal, the portion  
5 corresponding to the detected reference light signal is separated from other signals. Means 34' appropriate for such a signal separation may be, e.g., a low-pass filter, or a band-pass filter in case of a synchronous detection of the reference light signal. The separated signal is then  
10 processed analogously to the embodiment of Fig. 1. By the resulting microprocessor commands, the fiber actuator 8 is controlled so as to optimize the coupling efficiency. A second photodetector (not shown) may be provided for compensating power fluctuations of the reference laser 5', in  
15 the same way as in the embodiment of Fig. 1.

This invention is not limited to the preferred embodiments described above, to which variations and improvements may be made, without departing from the scope of protection of the  
20 present patent.

List of reference signs

	1	Apparatus, first embodiment
	1'	Apparatus, second embodiment
5		
	2	Submount
	21	Electric lines
	3	Light-emitting device
10	32	Second photodetector
	3'	Light-receiving device
	33'	Output line
	34'	Signal separation means
15	4	Fiber
	41	Outcoupling means
	41'	Incoupling means
	42	Auxiliary fiber
20	5	First photodetector
	5'	Reference light source
	6	Microprocessor
25	7	Actuator circuit
	71	Current or voltage sources

- 8        Microactuator
- 9        Control circuit

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## Claims

1. An optical fiber coupling apparatus for coupling light from a light-emitting device (3) into an optical fiber (4), comprising:

a microactuator (8) for positioning the end of said fiber (4) with respect to said light-emitting device (3), and a control circuit (9) in which the manipulated variable is a position of the fiber end positioned by said microactuator (8),

**characterized in that**

said control circuit (9) comprises

outcoupling means (41) for coupling out of said fiber (4) a well-defined portion of the light propagating through the core of said fiber (4) and

a photodetector (5) for detecting the intensity of said outcoupled light portion, and

the controlled variable from which the manipulated variable is determined in said control circuit (9) is the light intensity detected by said photodetector (5).

2. The optical fiber coupling apparatus (1) according to claim 1, wherein said outcoupling means (41) comprise an optical fiber coupler or a fiber grating coupler.

3. The optical fiber coupling apparatus (1) according to any of the preceding claims, wherein said outcoupling means

(41) are such that the intensity of said well-defined light portion is 0.1 %- 10 %, and preferably about 1 %, of the intensity of said light propagating through the core of the fiber (4).

5

4. The optical fiber coupling apparatus (1) according to any of the preceding claims, further comprising a second photodetector (32) for monitoring the operation of said light-emitting device (3).

10

5. An optical fiber coupling apparatus (1') for coupling light from an optical fiber (4) into a light-receiving device (3'), comprising:

15

a microactuator (8) for positioning the end of said fiber (4) with respect to said light-receiving device (3'), and a control circuit (9) in which the manipulated variable is a position of the fiber end positioned by said microactuator (8),

**characterized in that**

20

said control circuit (9) comprises

a reference light source (5') for emitting a reference light signal with an essentially constant intensity and

25

incoupling means (41') for coupling said reference light signal into the core of said fiber (4), and the controlled variable from which the manipulated variable is determined in said control circuit (9) is the

intensity of said reference light signal coupled into the fiber core and detected by said light-receiving device (3').

- 5 6. The optical fiber coupling apparatus (1') according to claim 5, wherein said incoupling means (41') comprise an optical fiber coupler or a fiber grating coupler.
- 10 7. The optical fiber coupling apparatus (1') according to claim 5 or 6, further comprising means (34') for separating said reference light signal from other light signals propagating through said fiber core.
- 15 8. The optical fiber coupling apparatus (1, 1') according to any of the preceding claims, further comprising a microprocessor (6) for processing an output signal of said photodetector (5) or said light-receiving device (3'), respectively, and for controlling said microactuator (8).
- 20 9. The optical fiber coupling apparatus (1, 1') according to claim 8, wherein said apparatus (1, 1') is based on a silicon-on-insulator microbench and said microprocessor (6) is integrated on said microbench by a complementary-metal-oxide-semiconductor technology or as a multi-chip
- 25 module.

10. The optical fiber coupling apparatus (1, 1') according to any of the preceding claims, wherein said fiber end is embedded in a multi-degree-of-freedom U-groove of V-groove.

5

11. The optical fiber coupling apparatus (1, 1') according to any of the preceding claims, wherein said microactuator (8) is suited for positioning the fiber end in three dimensions and preferably comprises an electrostatic comb actuator or a series of bimorphic actuators.

10

12. A method for coupling light from a light-emitting device (3) into an optical fiber (4), comprising:

positioning the end of said fiber (4) with respect to said light-emitting device (3), the position of the fiber end being the manipulated variable in a control operation,

15

**characterized in that**

a well-defined portion of the light propagating through the core of said fiber (4) is coupled out of the fiber (4),

20

the intensity of said light portion is detected, and said detected light intensity is used as the controlled variable from which the manipulated variable is determined in said control operation.

25

13. The method according to claim 12, wherein the intensity of said well-defined light portion is chosen to be 0.5 %- 2 %, and preferably about 1 %, of the intensity of said light propagating through the core.

5

14. A method for coupling light from an optical fiber (4) into a light-receiving device (3'), comprising:  
positioning the end of said fiber (4) with respect to said light-receiving device (3'), the position of the  
10 fiber end being the manipulated variable in a control operation,

**characterized in that**

a reference light signal with an essentially constant intensity is coupled into the core of said fiber (4), and  
15 the intensity of said reference light signal coupled into the fiber core and detected by said light-receiving device (3') is used as the controlled variable from which the manipulated variable is determined in said control operation.

20

15. The method according to any of the claims 12-14, wherein the Hill climb method is used for determining the position of the fiber end from the intensity of said light coupled into the fiber core in said control  
25 operation.

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## Abstract

The optical fiber coupling apparatus (1) for coupling light from a light-emitting device (3) into an optical fiber (4) in an optoelectronic package comprises a microactuator (8) for positioning the end of the fiber (4) with respect to the light-emitting device (3), and a control circuit (9) in which the manipulated variable is a position of the fiber end. The control circuit (9) comprises outcoupling means (41) for coupling out of the fiber (4) a well-defined portion of the light propagating through the core of the fiber (4) and a photodetector (5) for detecting the intensity of the outcoupled light portion. The controlled variable in the control circuit (9) is the light intensity detected by the photodetector (5), from which a microprocessor (6) calculates command signals for the microactuator (8). Thus, a remote control of the optical coupling without any external intervention is achieved.

(Figure 1)

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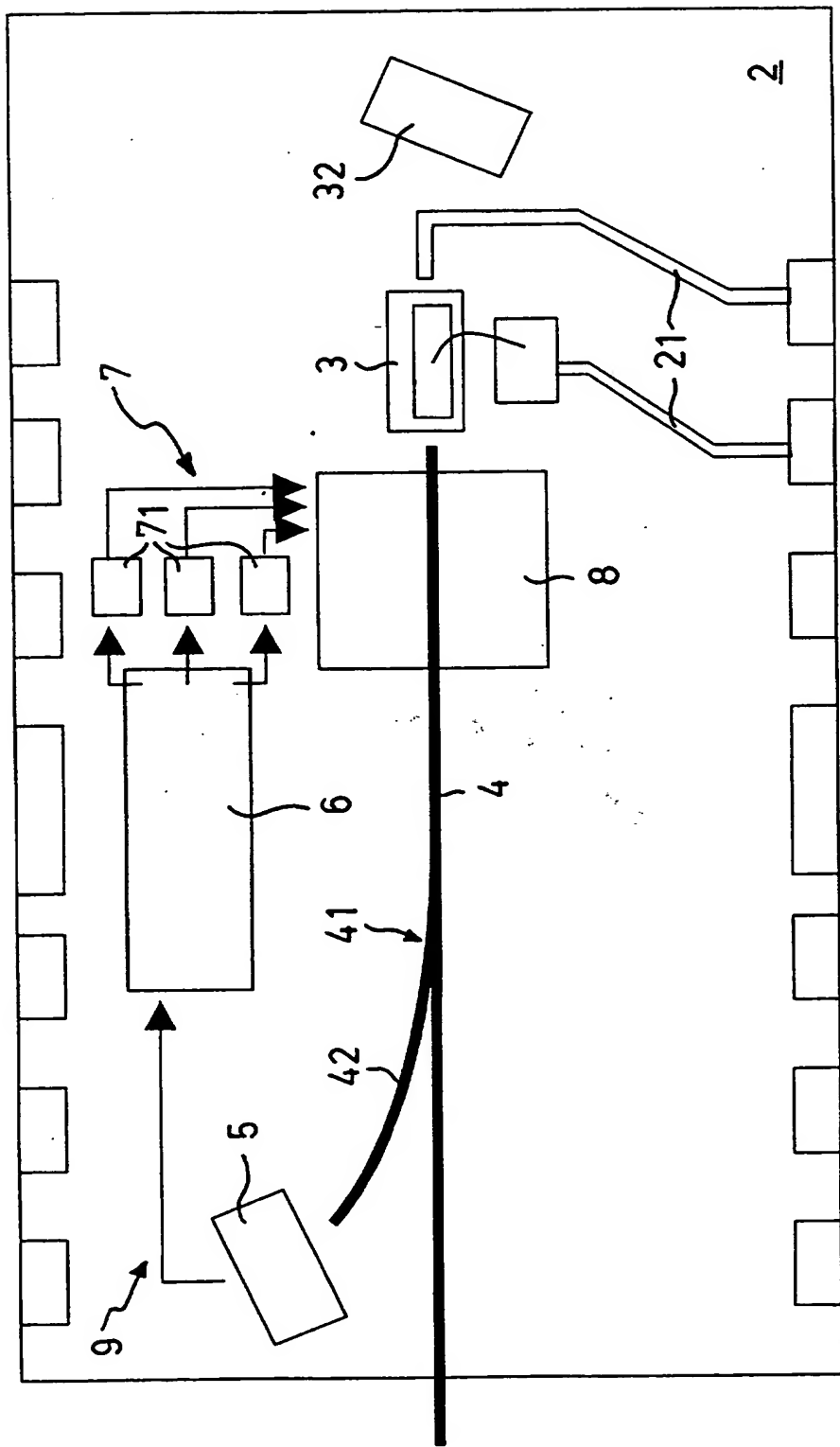


Fig. 1

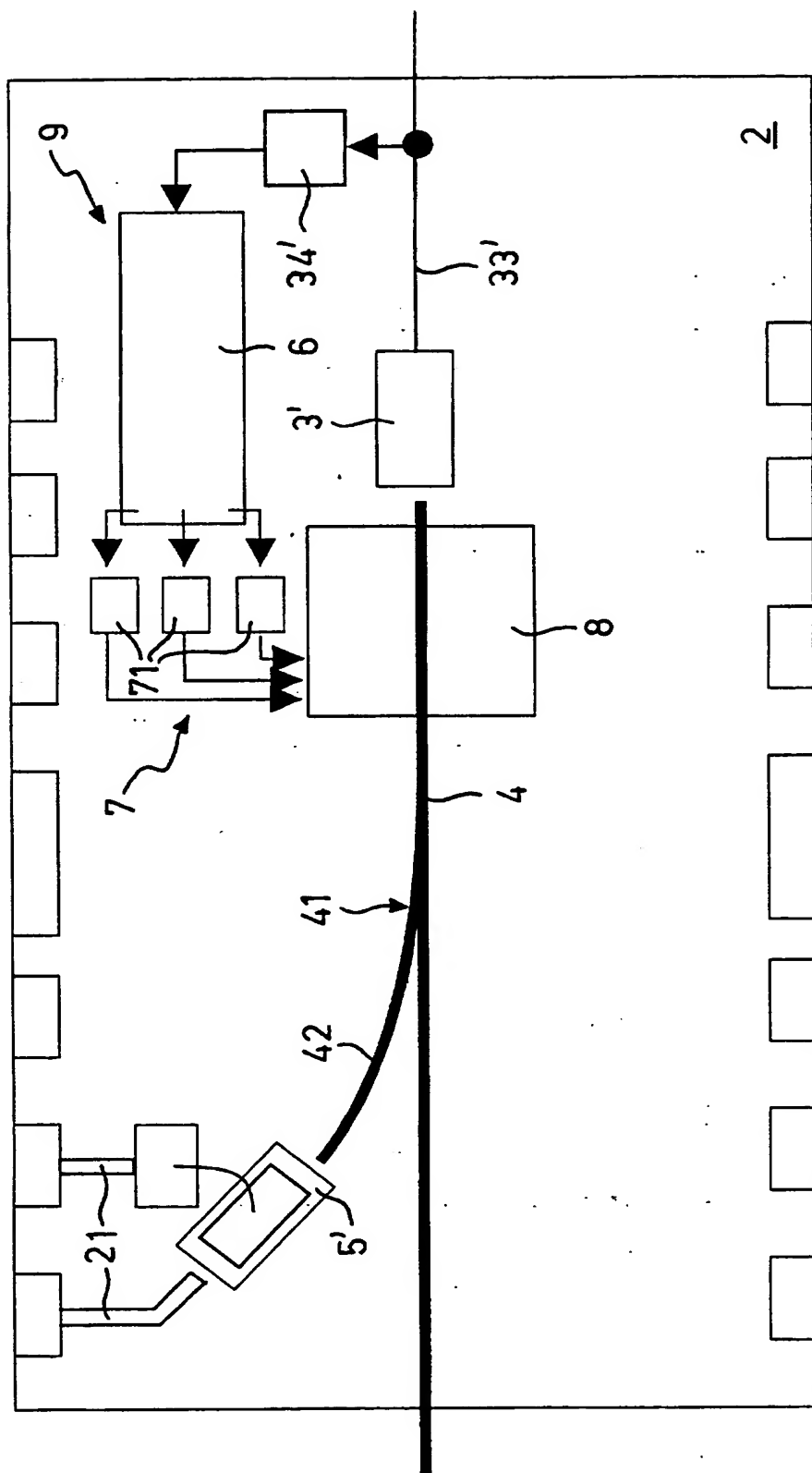


Fig. 2